

RECORDS MANAGEMENT

Purpose This Meteorology and Air Quality Group (MAQ) procedure describes the processes for submitting, receiving, maintaining, disposing of, and transferring MAQ records.

Scope This procedure applies to the MAQ records coordinator and others who work in the records room to maintain, receive, store, dispose of, and transfer MAQ records.

In this procedure This procedure addresses the following major topics:

Topic	See Page
General Information	2
Who Requires Training to this Procedure?	2
Creating a Record Series	4
Submitting Records	5
Receiving Records	6
Requesting and Retrieving Records	7
Assessing Records	9
Transferring Records	10
Destruction of Records	12
Records Resulting from this Procedure	13

Signatures	Prepared by: _____ Angie Aragon, Records Coordinator	Date: 11/08/05
	Approved by: _____ Terry Morgan, Quality Assurance Officer	Date: 11/08/05
	Work authorized by: _____ Dianne Wilburn, Acting MAQ Group Leader	Date: 11/08/05

J:\QA DRAFTS\PO25-R6-RECORDS DRAFT FROM ANGIE.DOC 01/19/06

CONTROLLED DOCUMENT

This copy is uncontrolled if no red stamp is present on printed copies.
Users are responsible for ensuring they work to the latest approved revision.

General information about this procedure

Attachments This procedure has the following attachments:

Number	Attachment Title	No. of pages
1	Records Series Definition	1
2	Example of MAQ Records Filing Index	1
3	LANL Records Transfer Request	1

History of revision

This table lists the revision history and effective dates of this procedure.

Revision	Date	Description Of Changes
0	10/11/95	New document; supersedes HS-9-RAEM-QP-03, R1, "HS-9 Radioactive Air Emissions Management Records Control Procedure."
1	10/7/96	Revised to reflect change to Microsoft Access and records storage changes.
2	6/24/97	Addition of new records management processes to ensure compliance with ESH Division Records Management Performance Plan, RD-012.000, April 21, 1997.
3	9/10/98	Addition of E-mail records process and change to use of ESH DO Records Center.
4	1/21/03	Revised to reflect organization changes for MAQ and to update new processes.
5	3/9/04	Quick-change to remove training requirement for all group members, new transfer request form, other editorial changes.
6	11/14/05	Revised to add records management system (Domino), added requirements for records series reviews, and other editorial changes.

Who requires training to this procedure?

The following personnel require training before implementing this procedure:

- MAQ records coordinator

General information, continued

Training methods

Training methods are:

- **records coordinator** – mentoring by a previously trained individual
- **other personnel** -- "self-study" (reading)

Training to this procedure is documented in accordance with the procedure for training (MAQ-024).

Definitions specific to this procedure

General definitions to records management concepts are located on the ENV RM web site at http://em.lanl.gov/records_definitions.htm.

References

The following documents are referenced in this procedure:

- MAQ-024, "Personnel Training"
 - MAQ-026, "Deficiency Reporting and Correcting"
-

Note

Actions specified within this procedure, unless preceded with "should" or "may," are to be considered mandatory guidance (i.e., "shall").

Creating a record series

Overview

The record series concept is a convenient way of grouping files or documents to permit their management as a group. This chapter defines the process for the establishment, review, and modification of records series definitions for each project. Records series must be kept up to date and regularly evaluated with the project or team leader.

Steps to create a record series

To create a record series, a **records coordinator** performs the following steps:

Step	Action
1	Meet with the project or team leader who is requesting a new series and complete a Record Series Definition form (Attachment 1) for each record series identified.
2	File the original Record Series form in the group records room.
3	Update the Records Filing Index (Attachment 2) and ensure the series structure is reflected in the electronic Domino system.

Review records series definitions

At least once per year, or any time changes are needed, the **records coordinator** meets with each team leader, project leader, or records owner to review the records series definition (file structure or taxonomy) for the project's records and make appropriate changes to the series definition or structure.

The **records coordinator** ensures that changes to the series structure are also reflected in the electronic Domino records system.

Changes to records series definitions

Only the records series owner or project leader and the records coordinator, together, can authorize changes to the record series definitions (taxonomy) or Domino filing structure for a project.

Review records requirements with group managers

At least once per year, the **records coordinator** meets with the team leaders (e.g., at a team leader or group meeting) to review the requirements for records management within MAQ and to solicit suggestions for improvement.

Submitting records

Overview MAQ procedures specify documents to be submitted as records. Procedures also include instructions for transfer of records to the MAQ group storage facility (records room). Any group member may identify and submit additional records to the records management system.

E-mail messages as records To be filed as records, e-mail messages and any attachments must be printed and filed as hard copy documents. Group personnel may forward hard copy or electronic versions of an e-mail record to the records coordinator along with instructions for maintenance (identified record series). The records coordinator will print a hard copy version of any electronically-forwarded e-mail record for filing. E-mail records must include the date and all pertinent header transmission data and a print-out of the associated metadata.

Steps to submit a record To submit a record, a **record originator** (any group member) performs the following steps:

Step	Action
1	Ensure that the document meets the definition of a record.
2	Ensure that the document is dated.
3	Indicate what records series the record belongs to.
4	For paper records, forward the record to a records coordinator for filing. Or place in the in-box located in the Records Room.
5	For electronic records, put an electronic file (Word file, Excel file, Powerpoint, PDF document, or other format) in the folder "Records/Put Records Here" on the group's Projects drive. Inform the Records Coordinator at aqdocs@lanl.gov that a record has been submitted to the folder.

Receiving records

Overview

A **records coordinator** receives documents to be filed as records in the group records room and ensures that record filing and tracking information is complete.

The **records coordinator** will protect records from deterioration, damage, or loss by filing records in binders, cabinets, and/or shelves in the MAQ records storage facility.

MAQ records storage facility

MAQ has designated TA-00, Building 1331, Room 129 as the group records storage facility.

Steps to receive a record

To receive a record, a **records coordinator** performs the following steps:

Step	Action
1	When notified by email, retrieve submitted records from the folder “Put Records Here” on the group’s Project drive. Print the document to obtain a paper copy for filing and if projects records are in Domino place a PDF copy in the appropriate Library.
2	Determine the record series that the document belongs to or if a new record series is needed. See the chapter <i>Creating a record series</i> of this procedure.
3	Check the record for completeness, as appropriate. If the record information is incomplete, return it to record originator for completion.
4	Determine the proper filing location by consulting the record originator, and/or the Records Filing Index (Attachment 2).
5	For paper copies, place copies of the record in the “To Be Filed” box in the Records Room or file immediately.
6	For electronic records, file the electronic file in Domino.doc records system.

Requesting and retrieving records

Overview MAQ personnel may request records from the MAQ records room. A **records coordinator** identifies, locates, and retrieves the requested record(s) and completes a Records Placeholder Log to identify the record requester and inserts the log in the filing location in place of the record.

MAQ group members Group members may directly retrieve records from the records room by:

- completing a Records Placeholder Log (on top of file cabinets) to identify the record requester.
- inserting the log in the filing location in place of the record.
- following instructions for using the Domino.doc software application (<http://em.lanl.gov/Domino/Domino.htm>).

Non-group member requests for records **Original records may not be removed from the group office by non-group personnel without written permission from the Group Leader.** When written permission is granted, a **records coordinator** includes a copy of the permission with the Record Placeholder Log when the record is retrieved from the records room.

Requests for records during assessments When an auditor requests a record from the records room during an assessment, a MAQ group member (usually the assigned “counterpart” for the auditor) must request and check out the record. A **records coordinator** retrieves the record and signs it out to the MAQ requester on the Record Placeholder Log.

If an auditor wishes to retain the record, the counterpart has the record copied, gives the copy to the auditor, and returns the original record to the group records room.

Steps to retrieve a record To retrieve a record, a **records coordinator** performs the following steps:

Step	Action
1	Find the record’s identification and location using the record criteria information provided by the requester.
2	Locate the record in the records room filing cabinet.

Requesting and retrieving records, continued

Step	Action
3	Complete a Record Placeholder Log by filling in the: <ul style="list-style-type: none">• name of the record requester,• initials of the records coordinator removing the record,• record name or number, and• date the record was taken.
4	Insert the Record Placeholder log in the record's filing location.
5	Remove the record from its filing location.

Returning and re-filing a record When the requester returns the record to the records control center for re-filing, a **records coordinator** or the record requester returns the record to its proper filing location in a records room.

Assessing records

Overview

The **records coordinator** performs an assessment of the records management system annually. The assessment process includes checking records series completeness, verifying that transfer or disposal instructions have been followed, and checking if the filing system is accurate.

Steps to perform assessment

To take assessment of the records management system, the **records** coordinator performs the following steps:

Step	Action						
1	Obtain and make copies of the Records Filing Indexes (Attachment 2) from the records room files.						
2	<p>Verify each record type listed on each Record Filing Index is present in the records room. Use the copies of the MAQ Records Filing Indexes as checklists.</p> <table> <tr> <th>If all records series are...</th><th>Then...</th></tr> <tr> <td>Present</td><td>go to Step 6.</td></tr> <tr> <td>not present</td><td>go to Step 3.</td></tr> </table>	If all records series are...	Then...	Present	go to Step 6.	not present	go to Step 3.
If all records series are...	Then...						
Present	go to Step 6.						
not present	go to Step 3.						
3	<p>Check Records Placeholder Logs and question the record originator regarding the location of any missing record series.</p> <table> <tr> <th>If the missing record series is...</th><th>Then...</th></tr> <tr> <td>Located</td><td>go to Step 5.</td></tr> <tr> <td>not located</td><td>go to Step 4.</td></tr> </table>	If the missing record series is...	Then...	Located	go to Step 5.	not located	go to Step 4.
If the missing record series is...	Then...						
Located	go to Step 5.						
not located	go to Step 4.						
4	Write a deficiency report in accordance with procedure MAQ-026. Go to Step 6.						
5	Return the record series to the records room.						
6	If unidentified records are found in the records room during the records series check, contact the originator to determine whether to enter them into the records system or remove them from the records room.						
7	Check the Records Series form(s) to determine what records series should have been either disposed of or transferred.						

Assessing records, continued

Step	Action						
8	<p>Verify proper disposal or transfer of the records series listed on the Records Series form(s).</p> <table> <tr> <th>If the records series have...</th><th>then...</th></tr> <tr> <td>been properly disposed of or transferred</td><td>go to Step 10.</td></tr> <tr> <td>not been properly disposed of or transferred</td><td>go to Step 9.</td></tr> </table>	If the records series have...	then...	been properly disposed of or transferred	go to Step 10.	not been properly disposed of or transferred	go to Step 9.
If the records series have...	then...						
been properly disposed of or transferred	go to Step 10.						
not been properly disposed of or transferred	go to Step 9.						
9	Dispose of or transfer the records in accordance with the instructions on the MAQ Records Series Form (Attachment 1). Refer to the chapters <i>Disposing of records</i> and <i>Transferring records</i> of this procedure.						
10	Document the results of the assessment on the checklist copies of the Records Filing Indexes and Records Series form.						
11	Sign and date the assessment checklist copies of the MAQ Records Filing Indexes and Records Series form(s) and file them as records.						

Transferring records

Overview

Inactive records, which are records no longer required to conduct group business, are transferred to the LANL Records Center or to the Federal Records Center in Denver, CO. A **records coordinator** transfers a records series according to the Records Schedule on the Information and Records Management Record Series form.

Steps to transfer a records series

To transfer a records series, a **records coordinator** performs the following steps:

Step	Action
1	Check the Records Schedule (on the MAQ Record Series form) to identify a Records Series whose transfer date has arrived.
2	Contact the record originator of the identified record series to obtain transfer concurrence or other instructions.
3	Prepare the records for transfer following the LANL Records Center transfer instructions.
4	Using the information from the MAQ Records Series form, pack the records in Laboratory-approved packing boxes according to cut-off instructions.
5	Prepare a LANL Records Transfer Request form (Attachment 3) to accompany the Records Series.
6	Contact the LANL Records Center and request a records delivery date and any further instructions.

Destruction of records

Overview

After their retention period has expired, temporary records (those that will not go to records center or archives) are prepared for destruction. A **records coordinator** prepares records to be disposed of in accordance with the retention schedule found on the DOE's Records Disposition Schedules.

Steps to dispose of a records series

To dispose of a records series, a **records coordinator** performs the following steps:

Step	Action						
1	When the record series disposal date has arrived, contact the record originator of the identified record series for disposal or destruction approval.						
	<table><tr><th>If the record owner...</th><th>then...</th></tr><tr><td>approves</td><td>continue with Step 2.</td></tr><tr><td>disapproves</td><td>contact the records coordinator to arrange for the transfer or maintenance of the record series.</td></tr></table>	If the record owner...	then...	approves	continue with Step 2.	disapproves	contact the records coordinator to arrange for the transfer or maintenance of the record series.
	If the record owner...	then...					
	approves	continue with Step 2.					
disapproves	contact the records coordinator to arrange for the transfer or maintenance of the record series.						
2	Contact the LANL Records Center for destruction approval.						
3	With the approval of LANL and the record originator, choose the appropriate destruction method.						
4	Dispose of the record series using the chosen destruction method.						

Records resulting from this procedure

Records

The following records, generated as a result of this procedure, are to be submitted to the records coordinator within 2 weeks of generation or completion:

- Record Series Definition form (attachment 1)
- LANL Records Center Transfer Request form (Attachment 3)
- Assessment checklist copies of the MAQ Records Filing Indexes and Records Series forms

[Click here to record “self-study” training to this procedure.](#)

Meteorology and Air Quality Group
Records Series Definition

This form is from MAQ-025

Records Series title:

Project:

Records Series description:

Transfer or disposition instructions:

Form completed by:

Signature

Name (print)

Date

EXAMPLE OF MAQ RECORDS FILING INDEX

Cabinet 1

Drawer 1	Hazard Reviews, Quality Management Plans, & TA-53 FMP's
Drawer 2	Integrated Work Documents IWD's
Drawer 3	ESR Dose Documentation (1997 – 2004)
Drawer 4	
Drawer 5	

Cabinet 2

Drawer 1	1999-Present Group Safety Records & WEB Classification Reviews-2004
Drawer 2- 5	

Cabinet 3

Drawer 1-3	2002 RAD-NESHAPS Monitored Stacks Beryllium
Drawer 4	
Drawer 5	

CABINET 4

Drawer 1	2005 RAD-NESHAPS Project Management Records
Drawer 2-3	2005 NESHAPS Monitored Stacks Tritium
Drawer 4-5	2005 NESHAPS Monitored Stacks LANSCE

CABINET 5

Drawer 1-2	2005 NESHAPS Monitored Stacks LANSCE
Drawer 3-5	2005 NESHAPS Monitored Stacks Particulate

CABINET 6

Drawer 1-5	2005 NESHAPS Monitored Stacks Particulate
------------	---

CABINET 7

Drawer 1-5	Controlled Procedures
-------------------	-----------------------

Cabinet 8

Drawer 5	2002 Operating Permit Application Development
Drawer 4	2002 Operating Permit Application Development
Drawer 3-1	Emission Unit Permits



Records Transfer Request



Instructions: Send completed form with records to LANL Records Center. Please Type

[illegible]

[illegible]